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#3

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/028,055	12/21/2001	William Earl Vernon	13390-002001

CONFIRMATION NO. 2965

FORMALITIES LETTER



DENIS G. MALONEY
Fish & Richardson P.C.
225 Franklin Street
Boston, MA 02110-2804

Date Mailed: 01/28/2002

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$18.
 ▪ \$18 for 1 total claims over 20.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 888.

A copy of this notice MUST be returned with the reply.

Tsegered
Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

04/23/2002 WNDHAMM1 00000070 10028055

02 FC:101	740.00 OP
03 FC:103	18.00 OP
04 FC:105	130.00 OP



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Ay's Docket No.: 13390-002001

#3

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : William Earl Vernon
Serial No. : 10/028,055
Filed : December 21, 2001
Title : CLOSED LOOP ASSET MANAGEMENT PROCESS

Art Unit : ~~Unknown~~ 2195
Examiner : ~~Unknown~~ Abel-Jabil

BOX MISSING PARTS
Commissioner for Patents
Washington, D.C. 20231

RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION

In response to the Notice to File Missing Parts of Application under 37 U.S.C. §1.53(b) mailed January 28, 2002 (copy enclosed), applicant as a large entity submits herewith the following:

- ☒ Payment of the basic filing fee of \$740;
- ☒ Payment of the additional/multiple dependent claims fees of \$18;
- ☒ Payment of the surcharge of \$130 for late filing of the basic filing fee and/or declaration;
- ☒ A check in the total amount of \$888 is attached;
- ☒ A Combined Declaration and Power of Attorney in compliance with 37 CFR §1.63;

It is understood that this perfects the application and no additional papers or filing fees are required. Please apply any other charges or credits to Deposit Account No. 06-1050.

CERTIFICATE OF MAILING BY FIRST CLASS MAIL

I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

April 12, 2002

Date of Deposit

Jennifer Hess Carleton
Signature

Jennifer Hess Carleton

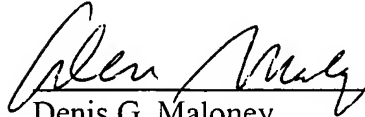
Typed or Printed Name of Person Signing Certificate

Applicant : William Earl Ver
Serial No. : 10/028,055
Filed : December 21, 2001
Page : 2

Attorney's Docket No.: 13390-002001

Respectfully submitted,

Date: 4/12/02



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